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COUNTY OF LOS ANGELES PROBATION DEPARTMENT

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TO: Each Supervisor

FROM: Robert B. Taylor *Robert B. Taylor*
Chief Probation Officer

J. Tyler McCauley *J. Tyler McCauley*
Auditor-Controller

SUBJECT: **IMPLEMENTATION OF MANAGEMENT & PROGRAM AUDIT
RECOMMENDATIONS – FIRST QUARTERLY STATUS REPORT**

On May 10, 2006, during the FY 2006-07 Proposed Budget Public Hearing, on motion of Supervisor Molina, the Board instructed the Chief Probation Officer along with the Chief Administrative Officer (CAO) and the Auditor-Controller, to provide the Board with quarterly status reports on the following:

- 1) The implementation of the management and program audits conducted by Thompson, Cobb, Bazilio and Associates (TCBA) and the Child Welfare League of America (CWLA);
- 2) The reorganization of the Probation Department; and
- 3) The Probation Department's plans to institutionalize change in the Department, such as formalized investigations of staff; implementation of corrective actions; and training of new and existing staff.

The Probation Department's FY 2006-07 Unmet Needs of \$164 million, recently revised to \$116.3 million, includes funding to implement some of the TCBA and CWLA recommendations, one of which is the reorganization of the Department. The Department's June 22, 2006 Priority Unmet Needs Multi-Year Implementation Plan is under review by the CAO and the Department of Human Resources, who will be providing their recommendations to the Board in September 2006.

The preceding areas overlap each other and have a direct or indirect nexus with the Probation Department's strategic plan, which is being developed with the assistance of Moore Iacofano Goltsman, Inc., a consulting firm hired by the Probation Department in December 2005, to assist with their strategic planning efforts. The Department's strategic plan is anticipated to be completed in September 2006.

BACKGROUND

In September 2004, the Board directed the Auditor-Controller to initiate a management and program audit of the Probation Department. On December 6, 2005, TCBA and CWLA issued their audit reports which collectively contained 100 recommendations. The TCBA audit recommendations focused on six areas: 1) strategic planning; 2) linking strategies to operations; 3) organizational structure and leadership; 4) automated systems and technology; 5) personnel management; and 6) other audit areas. The CWLA audit recommendations focused on four areas relative to the Probation Department's programs to determine their efficiency and effectiveness: 1) program planning and implementation; 2) best practices and benchmarking; 3) performance measurement; and 4) work processes. A summary implementation status of the audit recommendations as recommended by both agencies, by audit category, is provided in Attachment I.

The Department's Unmet Needs originally consisted of approximately \$164 million and has recently been reduced to \$116.3 million, by deferring primarily the installation of wet rooms in the juvenile halls. Although the Probation Department has requested funds to implement many of the audit recommendations with a focus primarily on improving service delivery to minors, many other recommendations were excluded from the Department's Unmet Needs as noted further below.

FIRST QUARTER PROGRESS HIGHLIGHTS

Representatives from the Auditor-Controller's Office and the Probation Department have been working with The Resources Company (TRC), a consulting agency hired by the Auditor-Controller in May 2006, to assist the Probation Department in effectively implementing the TCBA and CWLA recommendations. TRC has conducted a thorough review of those recommendations categorized by the Probation Department as being implemented, and has confirmed the status of all recommendations.

TRC is assisting the Department in tracking the recommendations which are categorized as "Implemented," "Partially Implemented," "Not Implemented" and "Funding Requested." Attached are summaries of each recommendation, by audit category, as assigned to TRC (Attachment II); covered by MIG's strategic planning process (Attachment III); or addressed by Dr. Alan Glassman, a Probation consultant hired to assist the Department with organizational transformation (Attachment IV). In addition, the Probation Department has determined, with TRC's concurrence, that five recommendations are "not applicable" for the reasons specified in Attachment V. Consequently, out of the 100 recommendations, 95 are being tracked, of which 63 (66%) have been implemented or are partially implemented. The following provides a general overview of the status of the audit recommendations and the progress of the work to date.

I. AUDIT RECOMMENDATIONS IMPLEMENTATION STATUS OVERVIEW

As indicated on Attachment I, of the 95 applicable TCBA and CWLA audit recommendations:

- 17 (18%) have been fully implemented by the Department as confirmed by TRC;
- 46 (48%) are in progress, and thus, partially implemented;
- 10 (11%) are not yet implemented; and
- 22 (23%) are contingent on the availability of additional resources.

As reflected above, 32 recommendations (34%) are not yet implemented, of which 22 are contingent upon additional resources.

II. PROBATION DEPARTMENT REORGANIZATION

The Probation Department's FY 2006-07 revised Unmet Needs of \$116.3 million include \$26.2 million and 253 positions necessary to proceed with a significant management restructure of the Department, primarily aimed at:

- ✓ Addressing the span of supervision problem and the "flatness" of the organization;
- ✓ Handling appropriately the many operational responsibilities for effective strategic planning and management and enabling addressing long-term issues;
- ✓ Providing the necessary leadership to better prepare the Department for the future; and
- ✓ Enhancing communication internally and externally, including all key stakeholders.

The Probation Department and TRC concur with the recommendations that a serious restructuring of the Probation Department is necessary and that the current organizational structure is too flat to adequately meet and support the Department's current demands.

The Department's unmet needs also include \$22.6 million and 325 positions necessary to redesign the 18-juvenile-camp operation, augment services at the three juvenile halls, as well as increase administrative positions to support a potential increase in operational staff.

These additional resources would equip the Probation Department to significantly transform its operations, including how probation services are delivered, and achieve the Department's Strategic Plan's goals, the camp-related recommendations noted by the Children's Planning Council and CWLA, and would address other key stakeholders' concerns.

II. PLANS TO INSTITUTIONALIZE DEPARTMENTAL CHANGE

The following are the Department's actions taken thus far and its plans to institutionalize departmental change, specifically in the following areas:

Formalized Staff Investigations, Corrective Action Implementation, and Training of New and Existing Staff – Consistent with the audit recommendations, the Department has moved the Child Abuse Special Investigations unit created as a result of the Department of Justice review, to report directly to the Chief Probation Officer, as well as the Internal Affairs section. The Probation Department believes that this enhances their ability to implement corrective actions and is a mechanism for increasing managerial and staff accountability. The Department has also created an Audits and Controls section to establish internal audit processes for managers and/or their operations as a means of increasing operational controls.

In addition, regarding training, the Probation Department has recently initiated a strategy to establish a Department Training Division that will eventually provide nearly all of the operational training needed by line staff, supervisors and managers. The Department is currently working on four parts of this development:

1. The Department has received approval to obtain a loaned Lieutenant from the Sheriff's Department to assist with evaluating and redesigning its training curriculum for all entry-level line staff as well as providing subsequent training needed by Probation personnel, if and when they move from halls to camps to field offices and become supervisors and managers.
2. The Resources Company is assisting the Department's Administrative Services Bureau to develop an action plan to establish the in-house training academy.
3. Probation's Training staff are currently reviewing all of the Department's operations-related training courses to facilitate an assessment by The Resources Company as to: (a) how well the curriculum aligns with evidence-based practices (EBP) and (b) what curriculum additions, changes and deletions are needed to do so. Additional information regarding evidence-based practices is provided under the Second Quarter Goals section of this report.
4. On January 31, 2006, the Department received Board approval for an additional 237 budgeted peace officer line positions for the juvenile halls, and an additional 33 positions as part of the FY 2006-07 budget process, for a total of 270 line positions. All of these positions have been filled. Training classes are also ongoing. In addition, as part of the FY 2006-07 budget process, the Department received 30 additional positions to provide training and is working towards filling these positions.

As previously indicated, the Department's Unmet Needs focused primarily on service delivery to minors, and excluded the need to augment adult probation services, and thus, funding to implement any of the adult-related audit recommendations. Consequently, the Probation Department indicates that beyond the \$116.3 million unmet needs estimate, their additional needs consist of \$40 million to address the remaining audit recommendations and \$86 million for other Departmental needs.

SECOND QUARTER GOALS

Over the next quarter, our collaborative efforts should enable:

- Finalizing the Probation Department's proposed reorganization structure contingent on Board-approved funds.
- Completing the Probation Department's strategic plan.
- Retaining and assembling of a consultant team to assist the Probation Department with implementing those management and program audit recommendations that require subject matter expertise.
- Completing a comprehensive action plan to implement an evidence-based practices (EBP) vision throughout the Probation Department, resulting in: 1) an EBP framework for resource allocation and future training of the Department's operations staff and 2) a continuum of supervision, treatment and other services to juvenile, emergent adult, and adult probationers.

With TRC's assistance, Probation is proceeding with implementation of EBP, which is research-driven, community corrections practice aimed at changing delinquent and adult offender behavior and reducing recidivism. EBP is based on eight core principles: 1) assess delinquent and offender risk and needs; 2) enhance client motivation to change; 3) base interventions on research; 4) skill train delinquents and offenders; 5) positively reinforce pro-social behavior; 6) obtain support for behavioral change in natural communities; 7) measure process and outcomes; and 8) provide feedback to offenders and agencies. The Department's overall goals are to reduce recidivism and victimization; enhance collaboration among County departments and with community and faith-based organizations; establish research-driven decision making; and target funding toward the interventions that bring the greatest return on investment.

- Sponsoring a community corrections conference involving the Probation Department, other County departments, other local agencies; including the Los Angeles County Office of Education and the Los Angeles Unified School District, and community-based and faith-based organizations, and

- Continuing to implement as many audit recommendations as fiscally and operationally feasible. We are currently projecting fully implementing 16 additional recommendations within the second quarter, for a total of 33 recommendations (35%) – these recommendations are not contingent on additional funding. A cumulative projected implementation schedule is provided in Attachment VI.

The Probation Department and TRC believe that significant progress has been made over this past initial quarter, and that substantial progress can be further achieved with additional resources allocated to this endeavor.

Please contact us if you have any questions or if additional information is necessary, or your staff may contact David M. Davies, Chief Deputy, Probation at (562) 940-2511, or Don Chadwick, Chief, Countywide Contract Monitoring Division at (626) 293-1102.

RBT/JTM:dn

Attachments (6)

c: David E. Janssen, Chief Administrative Officer
Sachi A. Hamai, Executive Officer, Board of Supervisors
Michael J. Henry, Director of Personnel
Public Information Office
Audit Committee
Justice Deputies